



Department of Defense INSTRUCTION

NUMBER 7050.8

December 14, 1998

IG, DoD

SUBJECT: Defense Hotline Quality Assurance Review (QAR) Program

- References: (a) [DoD Directive 7050.1](#), "Defense Hotline Program," January 4, 1999
(b) [DoD Instruction 7050.7](#), "Defense Hotline Procedures," December 14, 1998
(c) Quality Standards for Investigations, September 1997, President's Council on Integrity and Efficiency

1. PURPOSE

This Instruction implements the Defense Hotline QAR Program required by references (a) and (b), to provide oversight of Department of Defense hotline programs and to maintain the integrity of the hotline process.

2. APPLICABILITY

This Instruction applies to The Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Inspector General of the Department of Defense (IG, DoD), the Uniformed Services University of the Health Sciences, the Defense Agencies, including nonappropriated fund activities, and the DoD Field Activities (hereafter collectively referred to as the "DoD Components").

3. DEFINITIONS

Terms used in this Instruction are defined in enclosure 1.

4. POLICY

It is DoD policy to encourage the use of hotlines for reporting instances of fraud, waste and mismanagement in DoD operations and to endorse a proactive oversight and follow-up system that ensures the high program standards described in Quality Standards for Investigations (reference (c)) are followed.

5. RESPONSIBILITIES

5.1. The Inspector General of the Department of Defense shall provide oversight of hotline programs within the Department of Defense to ensure that reported allegations are thoroughly investigated and that the findings and conclusions reported by the investigating organization are fully documented.

5.2. The Heads of the DoD Components shall adhere to the procedures established in this Instruction, DoD Directive 7050.1 and DoD Instruction 7050.7 (references (a) and (b)) when responding to Defense Hotline referrals and in operating the DoD Component hotline programs.

6. PROCEDURES

6.1. The QAR is an analysis of the quality of the inquiry based on the documentation contained in the completed hotline case file and an evaluation of the timeliness, independence, objectivity, and overall adequacy of the hotline inquiry.

6.2. The QAR examines hotline inquiries completed during the previous 18-24 months and includes cases referred to the DoD Component by the Defense Hotline, and others received directly by the DoD Component hotline. The analysis shall focus on compliance with policy and procedures and identification of systemic strengths or weaknesses in the manner in which the DoD Component conducts its inquiries.

6.3. The Defense Hotline shall select the DoD Components for review and determine whether the review will be conducted in person or by correspondence.

6.4. Announcement Letter. Once the DoD Component is selected for review, the Defense Hotline shall prepare a memorandum for signature from the Assistant Inspector General for Investigations to the DoD Component Inspector General

announcing the dates for the QAR.

6.5. Team Composition. The QAR team will consist of one to three Defense Hotline Program investigators.

6.6. Selection of Cases. The DoD Component selected for review shall provide the Defense Hotline with a summary listing of the DoD Component hotline cases closed during the previous 18-24 months. The list shall include cases closed at the DoD Component Inspector General level and any lower level that conducts the DoD Component hotline cases. The summary listing shall contain sufficient information for the Defense Hotline to determine the nature of the allegations and the results of the inquiry. The Defense Hotline cases to be reviewed shall be selected from the DoD Component provided listing and a Defense Hotline generated listing of completed cases referred to the DoD Component for the previous 18-24 months. Cases selected for review usually contain allegations of fraud, waste and mismanagement that could have major impact on DoD programs, personnel, and/or policies within the DoD Component. These case files shall be forwarded to the Defense Hotline by the date specified. Copies of original case files are acceptable if all documents contained in the original file are copied and placed in the same location as in the original file. This includes memoranda and post-it notes if these items support the case findings and conclusions.

6.7. Entrance and Exit Briefing. An entrance and exit briefing shall be conducted, either in person or by telephone, and shall include the Head of the DoD Component/Inspector General and any other officials agreed to by the Defense Hotline and the DoD Component Inspector General. The entrance briefing shall discuss the review objectives and answer the DoD Component concerns or questions. The exit briefing shall provide the preliminary results of the review and suggestions for correcting noted deficiencies.

6.8. Review Analysis and Report. When the review team has completed their analysis of the case files, the Defense Hotline shall prepare the final written report with the review findings and recommendations. The report is signed by the IG, DoD, and issued to the Head of the DoD Component with a copy to the DoD Component Inspector General.

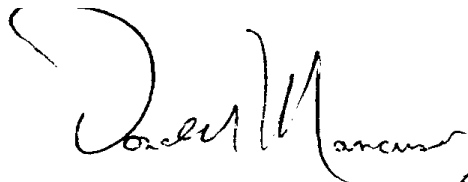
6.9. Files Maintenance. After the QAR final report is issued, the Defense Hotline shall promptly return the original case files, when obtained from the DoD Component. The Defense Hotline shall retain copied case files, along with notes and files generated by the QAR for a period of two years from the date the QAR final

report is issued.

6.10. Enclosure 2 provides the criteria the Defense Hotline will use when conducting a QAR.

7. EFFECTIVE DATE

This Directive is effective immediately.

A handwritten signature in black ink, appearing to read "Eleanor Hill", is positioned above the printed name.

Eleanor Hill
Inspector General

Enclosures - 2

E1. Definitions

E2. QAR Evaluation Criteria

E1. ENCLOSURE 1

DEFINITIONS

E1.1.1. Inquiry. "Inquiry" shall be used interchangeably with the term audit, investigation, inspection, examination, or other type of review when used to describe the fact-finding process in response to a Defense Hotline referral.

E1.1.2. Action Referral. Defense Hotline allegations referred to the DoD Component for action are allegations that can be resolved by the DoD Component, may be an indication of a systemic problem within the Component, or have been determined through the Defense Hotline review process as requiring DoD Component attention. In response to an action referral, the DoD Component shall conduct an inquiry and provide a Defense Hotline Completion Report to the Defense Hotline.

E1.1.3. Information Referral. Complaints or disagreements that do not require intervention by the DoD Component, but should be brought to the Component's attention are referred for information. These referrals do not require a Defense Hotline Completion Report unless the DoD Component decides to conduct an inquiry that results in corrective action.

E2. ENCLOSURE 2

DEFENSE HOTLINE QAR EVALUATION CRITERIA

E2.1.1. TIMELINESS OF INQUIRY. DoD Instruction 7050.7 (reference (b)) requires that noncriminal inquiries be completed or a progress report provided within 90 days (180 days for criminal investigations and audits) from the date the complaint was transmitted by the Defense Hotline.

E2.1.2. INDEPENDENCE OF INVESTIGATOR. Quality Standards for Investigations (reference (c)) requires that individuals assigned to conduct inquiries collectively possess the knowledge and skills required to perform the task required. It further requires that the organizations in which they work maintain an independent attitude, be organizationally independent, and free, both in fact and appearance from impairments to independence.

E2.1.3. CASE FILE DOCUMENTATION. References (b) and (c) require that the results of inquiries be documented in the case file in a timely, accurate, and complete manner. The documentation contained in the case file must support the findings and conclusions stated in the DoD Hotline Completion Report. The documentation shall include the Defense Hotline referral or the initial hotline allegation received by the DoD Component hotline, a copy of the Defense Hotline Completion Report, the complete identity of all witnesses interviewed (including the date and information related during interviews, specific details and locations of all documents reviewed during the inquiry, and any other actions the DoD Component took as a result of the inquiry).

E2.1.4. ADEQUACY OF INQUIRY. The following are examples of questions the Defense Hotline will use to review the case files during the QAR:

E2.1.4.1. Were all the allegations in the basic complaint addressed?

E2.1.4.2. Were all key individual witnesses and subjects interviewed?

E2.1.4.3. Were all relevant questions asked?

E2.1.4.4. Did the investigating official collect and review all pertinent documentation needed to support the findings and conclusions?

E2.1.4.5. Were legal opinions or technical expertise solicited when appropriate?

E2.1.4.6. Did the investigating official demonstrate a "common sense" approach while conducting the inquiry?

E2.1.5. ADEQUACY OF PROCEDURES AND CONTROLS. DoD Instruction 7050.7 (reference (b)) requires that the DoD Components establish methods for processing and controlling the receipt, examination, and reporting of all allegations referred through the Defense Hotline and/or the DoD Component hotline that comply with the operating standards outlined in reference (c).